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JC978 U.S. PTO
10/055555
01/23/02

JC541 U.S. PTO
01/23/02

DOCKET NO. : AREN-0315

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Dominic P. Behan, Derek T. Chalmers,
Richard J. Foster, Robert C. Glen, Michiagn
S. Lawless, Chen W. Liaw, Qian Liu,
Joseph Russo, Julian R. Smith and William
J. Thomsen, Bradley Teegarden, Keith
Drouet, Hommappa Jayakumar

Serial No.: Not yet assigned

Group Art Unit: Not yet assigned

Filing Date: herewith

Examiner: Not yet assigned

For:

EXPRESS MAIL LABEL NO:EL568093976US
DATE OF DEPOSIT: January 23, 2002

EL568093976US

Box ☒ Patent Application
☐ Sequence ☐ Design

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find

☒ A Utility Patent Application under 37 C.F.R. 1.53(b).

It is a continuing application, as follows:

☒ continuation ☐ divisional ☐ continuation-in-part of prior application number
09 / 292,072

☐ A Design Patent Application (submitted in duplicate).

☐ Request for Nonpublication is attached.

Including the following:

- ☐ New or Revised Specification, including pages ___ to ___ containing:
- ☐ Specification
 - ☐ Claims
 - ☐ Abstract
 - ☐ Substitute Specification, including Claims and Abstract.
- ☐ The present application is a continuation application of Application No. _____ filed _____. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Since none of those amendments incorporate new matter into the parent application, the present revised Specification also does not include new matter.
- ☐ The present application is a continuation application of Application No. _____ filed _____, which in turn is a continuation-in-part of Application No. _____ filed _____. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Although the amendments in the parent C-I-P application may have incorporated new matter, since those are the only revisions included in the present application, the present application includes no new matter in relation to the parent application.
- ☒ A copy of earlier application Serial No. 09/292,072 Filed April 14, 1999, including Specification, Claims and Abstract (pages 1 - 86), to which no new matter has been added TOGETHER WITH a copy of the executed oath or declaration for such earlier application and all drawings and appendices. Such earlier application is hereby incorporated into the present application by reference.
- ☐ Please enter the following amendment to the Specification under the Cross-Reference to Related Applications section (or create such a section) : "This Application:
- ☐ is a continuation of ☐ is a divisional of ☐ claims benefit of U.S. provisional Application Serial No. _____ filed _____.
- ☐ Signed Statement attached deleting inventor(s) named in the prior application.

- ☒ A Preliminary Amendment. (Pages 1-191)
- ☒ 17 Sheets of Formal Drawings.
- ☒ Drawing view to publish: 1
- ☐ Petition to Accept Photographic Drawings.
- ☐ Petition Fee
- ☒ An ☐ Executed ☒ Unexecuted Declaration or Oath and Power of Attorney.
- ☐ An Associate Power of Attorney.
- ☐ An ☐ Executed ☐ Copy of Executed Assignment of the Invention to _____
- ☐ A Recordation Form Cover Sheet.
- ☐ Recordation Fee - \$40.00.
- ☐ The prior application is assigned of record to _____
- ☐ Priority is claimed under 35 U.S.C. § 119 of Patent Application No. _____
filed _____ in _____ (country).
- ☐ A Certified Copy of each of the above applications for which priority is
claimed:
- ☐ is enclosed.
- ☐ has been filed in prior application Serial No. _____ filed _____.
- ☐ Please enter the following amendment to the first sentence of the specification
(or create such a sentence): "This application claims benefit of international
application No. _____, which was published under PCT Article 21(2)
in English."

- ☒ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 C.F.R. §1.27 as:
- ☐ an Independent Inventor
- ☒ a Small Business Concern
- ☐ a Nonprofit Organization.
- ☒ Diskette Containing DNA/Amino Acid Sequence Information.
- ☒ Statement to Support Submission of DNA/Amino Acid Sequence Information.
- ☒ Sequence listing consisting of pages 1-19.
- ☐ The computer readable form in this application _____, is identical with that filed in Application Serial Number _____, filed _____. In accordance with 37 CFR 1.821(e), please use the ☐ first-filed, ☐ last-filed or ☐ only computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is ☐ included in the originally-filed specification of the instant application, ☐ included in a separately filed preliminary amendment for incorporation into the specification.
- ☐ Information Disclosure Statement.
- ☐ Attached Form 1449.
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ A copy of Petition for Extension of Time as filed in the prior case.
- ☐ Appended Material as follows: _____
- ☒ Return Receipt Postcard (should be specifically itemized).

☐ Other as follows: _____

FEE CALCULATION:

- ☒ Cancel in this application original claims 2-13 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

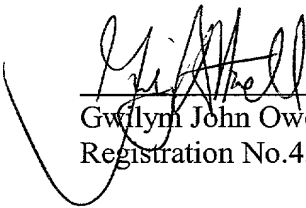
			SMALL ENTITY		NOT SMALL ENTITY	
			RATE	FEE	RATE	FEE
DESIGN APPLICATION			\$165.00	\$	\$330.00	\$
UTILITY APPLICATIONS BASE FEE			\$370.00	\$370	\$740.00	\$
UTILITY APPLICATION; ALL CLAIMS CALCULATED AFTER ENTRY OF ALL AMENDMENTS						
	No. Filed	No. Extra				
TOTAL CLAIMS	21 - 20 =	1	\$9 each	\$ 9	\$18 each	\$
INDEP. CLAIMS	11 - 3 =	8	\$42 each	\$ 336	\$84 each	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM			\$140	\$ 140	\$280	\$
ADDITIONAL FILING FEE				\$		\$
TOTAL FILING FEE DUE				\$ 855		\$

- ☒ A Check is enclosed in the amount of \$ 855.
- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to deposit account 23-3050. This sheet is provided in duplicate.
- ☐ The foregoing amount due.
- ☒ Any additional filing fees required, including fees for the presentation of extra claims under 37 C.F.R. 1.16.
- ☒ Any additional patent application processing fees under 37 C.F.R. 1.17 or 1.20(d).

- ☒ The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to deposit account 23-3050. This sheet is provided in duplicate.

SHOULD ANY DEFICIENCIES APPEAR with respect to this application, including deficiencies in payment of fees, missing parts of the application or otherwise, the United States Patent and Trademark Office is respectfully requested to promptly notify the undersigned.

Date: January 23, 2002


Gwilym John Owen Attwell
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J. Thomsen

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filing Date: herewith

Examiner: Not Yet Assigned

For: **NON-ENDOGENOUS, CONSTITUTIVELY ACTIVATED HUMAN
SEROTONIN RECEPTORS AND SMALL MOLECULE MODULATORS
THEREOF**

EXPRESS MAIL LABEL NO: EL568093976US
DATE OF DEPOSIT: January 23, 2002

BOX SEQUENCE

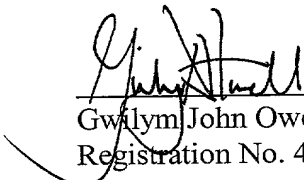
Assistant Commissioner for Patents
Washington DC 20231

STATEMENT TO SUPPORT FILING AND SUBMISSION IN ACCORDANCE
WITH 37 CFR §§ 1.821 THROUGH 1.825

- ☒ I hereby state, in accordance with the requirements of 37 C.F.R. §1.821(f), that the contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 CFR §1.821(c) and (e), respectively are the same.
- ☐ I hereby state that the submission filed in accordance with 37 CFR §1.821(g) does not include new matter.
- ☐ I hereby state that the submission filed in accordance with 37 CFR §1.821(h) does not include new matter or go beyond the disclosure in the international application as filed.
- ☐ I hereby state that the amendments, made in accordance with 37 CFR §1.825(a), included in the substitute sheet(s) of the Sequence Listing are supported in the application, as filed, at pages _____. I hereby state that the substitute sheet(s) of the Sequence Listing does (do) not include new matter.
- ☐ I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 CFR §1.825(b), is the same as the amended Sequence Listing.

☐ I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 CFR §1.825(d), contains identical data to that originally filed.

Date: January 23, 2002


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